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1763 45

## TRANSMITTAL FORM

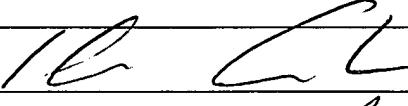
(to be used for all correspondence after initial filing)

		Application Number	09/957,395
		Filing Date	September 19, 2001
		First Named Inventor	Khan, et al.
		Group Art Unit	1763
		Examiner Name	Culbert, Robert
Total Number of Pages in This Submission	4	Attorney Docket Number	AM 5782

### ENCLOSURES (check all that apply)

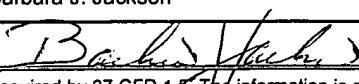
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>Copy of Reference, Return Addressed Postcard;</b>
		Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Keith P. Taboada, Esq., Reg. No. 45,150
Signature	
Date	Jan 5, 2004

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**Under 37 CFR 1.97(b), (c), or (d)**

Docket No.  
**AM 5782**

In re Application of: **Khan, et al.**

Serial No.  
**09/957,395**

Filing Date  
**09/19/2001**

Examiner  
**Culbert, R.**

Group Art Unit  
**1763**

Title: **METHOD OF FORMING OPTICAL WAVEGUIDES IN A SEMICONDUCTOR SUBSTRATE**



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**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.

**37 CFR 1.97(d)**

3.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.

**Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)**

- Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))
- No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))
- The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.

**37 CFR §1.704(d)**

4.  Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Dated: Jan 5, 2004

Keith P. Taboada, Esq.

Reg. No. 45,150

**Moser, Patterson & Sheridan, LLP**  
**Attorneys at Law**  
**595 Shrewsbury Avenue, Suite 100**  
**Shrewsbury, New Jersey 07702**  
**732-530-9404**

01/09/2004 CCHAU1 00000058 200782 09957395

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**Barbara J. Jackson**

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U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)				Docket No. AM 5782	Serial No. 09/957,395			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Applicant Khan, et al.	Confirmation No.: 4481			
(Use several sheets if necessary)				Filing Date 09/19/2001	Group 1763			
<b>U.S. Patent Documents</b>								
*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate	
	A1							
	A2							
	A3							
	A4							
	A5							
	A6							
	A7							
	A8							
	A9							
	A10							
<b>Foreign Patent Documents</b>								
*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
	B1						<input type="checkbox"/>	<input type="checkbox"/>
	B2						<input type="checkbox"/>	<input type="checkbox"/>
	B3						<input type="checkbox"/>	<input type="checkbox"/>
	B4						<input type="checkbox"/>	<input type="checkbox"/>
	B5						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER ART</b>								
*Examiner Initial		Including Author, Title, Date, Pertinent Pages, Etc.						
	C1	C. Gorecki. "Optical waveguides and silicon-based micromachined architectures," <u>MEMS and MOEMS Technology and Applications</u> , volume PM 85, chapter 5. pages 209-297. P. Rai-Choudhury, Bellingham, USA, SPIE Press edition, 2000.						
	C2							
	C3							
Examiner				Date Considered				
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.								

